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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION

☐ Declaration Submitted with Initial Filing

☒ Declaration Submitted after Initial Filing

Attorney Docket Number	NANO-002/01US
First Named Inventor	George W. SHAW et al.
COMPLETE IF KNOWN	
Application Number	
Filing Date	
Group Art Unit	
Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

RISC MICROPROCESSOR ARCHITECTURE

(Title of the Invention)

the specification of which

☐ is attached hereto  
OR

☒ was filed on (MM/DD/YYYY)

04 October 1996

as United States Application Number or PCT International

Application Number

PCT/US96/16013

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
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60/005,408	06 October 1995	

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Name	Willis E. Higgins		
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Inventor's Signature	Date

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing

Attorney Docket Number	NANO-002/01US
First Named Inventor	George W. SHAW et al.
COMPLETE IF KNOWN	
Application Number	
Filing Date	
Group Art Unit	
Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**RISC MICROPROCESSOR ARCHITECTURE**

the specification of which

(Title of the invention)

☐ is attached hereto  
OR

☒ was filed on (MM/DD/YYYY)

**04 October 1996**

as United States Application Number or PCT International

Application Number

**PCT/US96/16013**

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35 United States Code §119 (a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority sheet attached hereto.

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.
<b>60/005,408</b>	<b>06 October 1995</b>	

(Page 1 of 5)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents and Trademarks, Washington, DC 20231

(January 1997)

Please type a plus sign (+) inside the box → ☐

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DECLARATION										ADDITIONAL INVENTOR(S) Supplemental Sheet	
Name of Additional Joint Inventor, if any: <input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name	Martin			Middle Initial	G.	Family Name	McCLURG			Suffix	
Inventor's Signature									Date		
Residence: City	Los Gatos			State	CA	Country	United States			Citizenship	US
Post Office Address	17617 Mountain Charlie Road										
Post Office Address											
City	Los Gatos			State	CA	Zip	95030		Country	United States	
Name of Additional Joint Inventor, if any: <input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name	Bradley			Middle Initial	D.	Family Name	JENSEN			Suffix	
Inventor's Signature									Date		
Residence: City	San Jose			State	CA	Country	United States			Citizenship	US
Post Office Address	5914 Fishburne Avenue										
Post Office Address											
City	San Jose			State	CA	Zip	95123		Country	United States	
Name of Additional Joint Inventor, if any: <input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name	Russell			Middle Initial	H.	Family Name	FISH			Suffix	III
Inventor's Signature									Date		
Residence: City	Dallas			State	TX	Country	United States			Citizenship	US
Post Office Address	5426 Meadow Creek Drive, No. 2095										
Post Office Address											
City	Dallas			State	TX	Zip	75248		Country	United States	
Name of Additional Joint Inventor, if any: <input type="checkbox"/> A petition has been filed for this unsigned inventor											
Given Name	Charles			Middle Initial	H.	Family Name	MOORE			Suffix	
Inventor's Signature									Date		
Residence: City	Woodside			State	CA	Country	United States			Citizenship	US
Post Office Address	410 Star Hill Road										
Post Office Address											
City	Woodside			State	CA	Zip	94062		Country	United States	
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto											

PATENT

Attorney Docket No. NANO-002/01US

Express Mail Label Number: EM 570 540 394 US

Date of Deposit: August 7, 1998

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 8/7/98

By:

Elaine Calingquim

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )

George W. Shaw et al. )

Serial No. Not yet assigned )

(U.S. National Phase of )  
PCT/US96/16013) )

Filed: )

For: RISC MICROPROCESSOR )  
ARCHITECTURE )

Examiner:

Art Unit:

POWER OF ATTORNEY BY  
ASSIGNEE AND EXCLUSION  
OF INVENTORS UNDER 37 CFR  
1.36 and 3.71

Palo Alto, CA 94306

BOX PCT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the application for Letters Patent identified above hereby revokes all prior appointments of attorneys and appoints

Richard L. Neeley	<u>30,092</u>
Willis E. Higgins	<u>23,025</u>
Tom M. Moran	<u>26,314</u>
John W. Girvin, Jr.	<u>22,706</u>
Richard M. Goldman	<u>25,585</u>
Jackie N. Nakamura	<u>35,966</u>
Peter R. Leal	<u>24,226</u>
Nina M. Ashton	<u>37,273</u>

Marcella Lillis	<u>36,583</u>
Craig P. Opperman	<u>37,078</u>
Melya J. Hughes	<u>38,696</u>
Aaron S. Brodsky	<u>39,920</u>
Gurjeev K. Sachdeva	<u>37,434</u>
Alexandra J. Baran	<u>39,101</u>
Saul A. Seinberg	<u>24,840</u>
James A. Bradburne	<u>38,389</u>

all of the firm of Cooley Godward LLP, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith. This appointment shall be to the exclusion of the above-identified inventor(s) and any attorney(s) appointed by such inventor(s), in accordance with the provisions of 37 C.F.R. 1.36 and 3.71.

Assignee's rights are evidenced by an assignment

☒ a copy of which is enclosed herewith.

☐ previously recorded at reel , frame(s) .

Please direct all telephone calls and correspondence to:

Cooley Godward LLP  
Attn: Willis E. Higgins  
Five Palo Alto Square  
3000 El Camino Real  
Palo Alto, CA 94306-2155  
Attention: Patent Group  
650-843-5000

Assignee: Patriot Scientific Corporation

By: James T. Lunney

Name: James T. Lunney

Title: President and CEO

Address: 10989 Via Fontera  
San Diego, CA 92127

Date: 5/20/98

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**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
 (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)  
**NANO-002/01US**

Applicant or Patentee: George W. Shaw et al.

Application or Patent No.: not yet assigned (U.S. National Phase of PCT/US96/16013)

Filed or Issued: \_\_\_\_\_

Title: RISC MICROPROCESSOR ARCHITECTURE

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Patriot Scientific Corporation

ADDRESS OF SMALL BUSINESS CONCERN 10989 Via Fontera, San Diego, CA 92127

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

- Each person, concern, or organization having any rights in the invention is listed below:  
☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING James Lunney

TITLE OF PERSON IF OTHER THAN OWNER CEO

ADDRESS OF PERSON SIGNING 10989 Via Fontera, San Diego, CA 92127

SIGNATURE James I. Lunney

DATE 5/20/98

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 PTO/SB/01 (3-95)

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## DECLARATION

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
Nina ASHTON	37,273	Willis E. HIGGINS	23,025
Alexandra J. BARAN, Ph.D.	39,101	Melya J. HUGHES, Ph.D.	38,696
James A. BRADBURN, Ph.D.	38,389	Peter R. LEAL	24,226
Aaron S. BRODSKY	39,920	Marci LILLIS, Ph.D.	36,583
John W. GIRVIN, Jr.	22,706	Tom M. MORAN	26,314
Richard M. GOLDMAN	25,585	Jackie N. NAKAMURA	35,966

☒ Additional registered practitioner(s) named on a supplemental sheet attached hereto.

Direct all correspondence to:

Name	Willis E. Higgins		
Address	Cooley Godward LLP		
Address	Five Palo Alto Square, 3000 El Camino Real		
City	Palo Alto	State	CA
ZIP	94306-2155		
Country	United States	Telephone	(650) 843-5000
Fax	(650) 857-0663		

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:

☐ A petition has been filed for this unsigned inventor

Given Name	George	Middle Initial	W.	Family Name	SHAW	Suffix e.g. Jr.	
------------	--------	----------------	----	-------------	------	-----------------	--

Inventor's Signature		Date	5/20/98
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Residence: City	San Ramon	State	CA	Country	United States	Citizenship	US
-----------------	-----------	-------	----	---------	---------------	-------------	----

Post Office Address	310 Hillcrest Court
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Post Office Address	
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City	San Ramon	State	CA	Zip	94583	Country	United States
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☒ Additional inventors are being named on supplemental sheet(s) attached hereto

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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet

200

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Martin	Middle Initial	G.	Family Name	McCLURG	Suffix e.g. Jr.	
Inventor's Signature	Martin S. McClurg				Date	5/22/9	
Residence: City	Los Gatos CA	State	CA	Country	United States	Citizenship	US
Post Office Address	17617 Mountain Charlie Road						
Post Office Address							
City	Los Gatos	State	CA	Zip	95030	Country	United States
Name of Additional Joint Inventor, if any:							
				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Bradley	Middle Initial	D.	Family Name	JENSEN	Suffix e.g. Jr.	
Inventor's Signature					Date		
Residence: City	San Jose	State	CA	Country	United States	Citizenship	US
Post Office Address	5914 Fishburne Avenue						
Post Office Address							
City	San Jose	State	CA	Zip	95123	Country	United States
Name of Additional Joint Inventor, if any:							
				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Russell	Middle Initial	H.	Family Name	FISH	Suffix e.g. Jr.	III
Inventor's Signature					Date		
Residence: City	Dallas	State	TX	Country	United States	Citizenship	US
Post Office Address	5426 Meadow Creek Drive, No. 2095						
Post Office Address							
City	Dallas	State	TX	Zip	75248	Country	United States
Name of Additional Joint Inventor, if any:							
				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name	Charles	Middle Initial	H.	Family Name	MOORE	Suffix e.g. Jr.	
Inventor's Signature					Date		
Residence: City	Woodside	State	CA	Country	United States	Citizenship	US
Post Office Address	410 Star Hill Road						
Post Office Address							
City	Woodside	State	CA	Zip	94062	Country	United States
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto							

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**ADDITIONAL INVENTOR(S)**  
**Supplemental Sheet**

[Page 3 of 5]

090816Z JUL 77  
FM JCRC  
TO SECDEF  
INFO SECSTATE  
SUBJ: HUMAN RIGHTS VIOLATIONS IN LAOS  
REF: JCRC REPORT DATED 1 APRIL 1977  
PRIORITY

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[Page 3 of 5]

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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet

Name of Additional Joint Inventor, if any:										<input type="checkbox"/> A petition has been filed for this unsigned inventor									
Given Name	Martin				Middle Initial	G.		Family Name	McCLURG				Suffix e.g. Jr.						
Inventor's Signature											Date								
Residence: City	Los Gatos				State	CA		Country	United States				Citizenship	US					
Post Office Address	17617 Mountain Charlie Road																		
Post Office Address																			
City	Los Gatos				State	CA		Zip	95030		Country	United States							
Name of Additional Joint Inventor, if any:										<input type="checkbox"/> A petition has been filed for this unsigned inventor									
Given Name	Bradley				Middle Initial	D.		Family Name	JENSEN				Suffix e.g. Jr.						
Inventor's Signature											Date								
Residence: City	San Jose				State	CA		Country	United States				Citizenship	US					
Post Office Address	5914 Fishburne Avenue																		
Post Office Address																			
City	San Jose				State	CA		Zip	95123		Country	United States							
Name of Additional Joint Inventor, if any:										<input type="checkbox"/> A petition has been filed for this unsigned inventor									
Given Name	Russell				Middle Initial	H.		Family Name	FISH				Suffix e.g. Jr.	III					
Inventor's Signature											Date								
Residence: City	Dallas				State	TX		Country	United States				Citizenship	US					
Post Office Address	5426 Meadow Creek Drive, No. 2095																		
Post Office Address																			
City	Dallas				State	TX		Zip	75248		Country	United States							
Name of Additional Joint Inventor, if any:										<input type="checkbox"/> A petition has been filed for this unsigned inventor									
Given Name	Charles				Middle Initial	H.		Family Name	MOORE				Suffix e.g. Jr.						
Inventor's Signature	<i>Charles H. Moore</i>										Date	98 AUG 3							
Residence: City	Woodside CA				State	CA		Country	United States				Citizenship	US					
Post Office Address	410 Star Hill Road																		
Post Office Address																			
City	Woodside				State	CA		Zip	94062		Country	United States							
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto																			

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